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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Mikael Bisgaard-Bohr et al. *TC 2* Examiner: *TC 2800 MAIL ROOM*
Serial No.: 09/739,991 Group Art Unit: 2825
Filed: December 18, 2000 Docket: 9142
Title: ANALYSIS OF RETAIL TRANSACTIONS USING GAUSSIAN MIXTURE MODELS IN A DATA MINING SYSTEM

CERTIFICATE OF MAILING OR TRANSMISSION UNDER 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on April 16, 2001.

By: *[Signature]*
Name: George H. Gates

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing a Certificate of Mailing under 37 CFR 1.8.
- ☒ Information Disclosure Statement and Form PTO-1449.
- ☒ Cited Reference(s).
- ☒ Return postcard.

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers, if appropriate.

Please charge all fees to Deposit Account No. 50-1673 of NCR Corporation (the assignee of the present application). A duplicate of this paper is enclosed.

GATES & COOPER LLP
Howard Hughes Center
6701 Center Drive West, Suite 1050
Los Angeles, CA 90045
(310) 641-8797

By: *[Signature]*
Name: George H. Gates
Reg. No.: 33,500
GHG/sjm

(PTO TRANSMITTAL - GENERAL)



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Applicant: Mikael Bisgaard-Bohr et al. Examiner: Not yet assigned
Serial No.: 09/739,991 Group Art Unit: 2870 2800 MAIL ROOM
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By: 
Name: George H. Gates

INFORMATION DISCLOSURE STATEMENT (37 C.F.R. §1.97(b))

Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art". Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please direct any response or inquiry to the below-signed attorney at (310) 641-8797.

Respectfully submitted,

Mikael Bisgaard-Bohr et al.

By their attorneys,

GATES & COOPER LLP
6701 Center Drive West, Suite 1050
Los Angeles, California 90045
(310) 641-8797

Date: April 16, 2001

GHG/sjm

By: 

George H. Gates
Reg. No.: 33,500

Form 1449*	Docket Number: 9142	Application Number: 09/739,991
INFORMATION DISCLOSURE STATEMENT		
IN AN APPLICATION		
Applicant: Mikael Bisgaard-Bohr et al.		
Filing Date: December 18, 2000	Group Art Unit: 2825	



U.S. PATENT DOCUMENTS							
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
	5,787,425	07/28/98	Bigus				
	5,909,681	06/01/99	Passera et al.				
FOREIGN PATENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
		C. Aggarwal et al., "Fast Algorithms for Projected Clustering," In Proceedings of the ACM SIGMOD Int'l Conf on Management of Data, Philadelphia, PA, 1999					
		R. Agrawal et al., "Automatic Subspace Clustering of High ... Applications," In Proceedings of ACM SIGMOD Int'l Conf on Management of Data, Seattle, WA, 1998					
		H. Bozdogan, "Model selection and Akaike's information criterion ... extensions," Psychometrika, 52(3):345-370, 1987					
		P.S. Bradley et al., "Scaling Clustering Algorithms to Large Databases," In Proceedings of the Int'l Knowledge Discovery and Data Mining Conference (KDD), 1998					
		P.S. Bradley et al., "Scaling EM (Expectation-Maximization) Clustering to Large Databases," Microsoft Research Technical Report, 20 pages, 1998					
		A.P. Dempster et al., "Maximum Likelihood from Incomplete Data via the EM Algorithm," Journal of The Royal Statistical Society, 39(1):1-38, 1977					
		M. Ester et al., "A Density-Based Algorithm for Discovering ... Noise," In Proceedings of the IEEE, Int'l Conf on Data Engineering (ICDE), Portland, Oregon, 1996					
		G. Graefe et al., "On the Efficient Gathering ... Databases," Microsoft, AAAI, 5 pages, 1998					
		A. Hinneburg et al., "Optimal Grid-Clustering: Towards Breaking the Curse ... Clustering," In Proceedings of the 25th Int'l Conf on Very Large Data Bases, Edinburgh, Scotland, 1999					
		M.I. Jordan et al., "Hierarchical Mixtures of Experts and the EM Algorithm," Neural Computation, 6:181-214, 1994					
		F. Murtagh, "A Survey of Recent Advances in Hierarchical Clustering Algorithms," The Computer, Journal, 26(4):354-359, 1983					
		R.T. Ng et al., "Efficient and Effective Clustering Methods ... Mining," In Proc. of the VLDB Conf, Santiago, Chile, 1994					
		W.H. Press et al., "Numerical Recipes in C," Cambridge University Press: Cambridge, 20 pgs., 1986					
		S. Roweis, "A Unifying Review of Linear Gaussian Models," Neural Computation, 11:305-345, 1999					
		T. Zhang et al., "BIRCH: An Efficient Data Clustering ... Databases," Int'l Proc of the ACM SIGMOD Conference, Montreal, Canada, pp. 103-114, 1996					
		A White Paper Prepared by MicroStrategy, Inc., "The Case for Relational OLAP," 20 pages, 1995					

EXAMINER:	DATE CONSIDERED:
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	